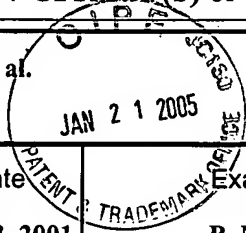


**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
**(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.  
114066-004

In Re Application Of: **Jarvis et al.**



Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
10/002,553	November 23, 2001	B. Nguyen	29159	3713	3797

Title: **FINANCIAL TRADING GAME**

Address to:  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**37 CFR 1.97(b)**

1. ☐ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☒ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

**OR**

☒ the fee set forth in 37 CFR 1.17(p).

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
114066-004

In Re Application: **Jarvis et al.**

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
10/002,553	November 23, 2001	B. Nguyen	29159	3713	3797

Title: **FINANCIAL TRADING GAME**

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))


- ☒ A check in the amount of **\$180.00** is attached.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. **02-1818** as described below.
- ☐ Charge the amount of
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.
- ☐ Payment by credit card. Form PTO-2038 is attached.

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

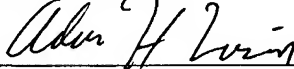
**Certificate of Transmission by Facsimile\***

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. _____)
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I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as <u>first class mail in an envelope addressed to</u> "Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450" [37 CFR 1.8(a)] on <u>January 18, 2005</u> .
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 Signature of Person Mailing Correspondence
Heather Foster
_____ Typed or Printed Name of Person Mailing Certificate

**\*This certificate may only be used if paying by deposit account.**

  
\_\_\_\_\_  
Signature

Dated: **January 18, 2005**

Adam H. Masia  
Reg No. 35,602  
Bell, Boyd & Lloyd, LLC  
P.O. Box 1135  
Chicago, Illinois 60690-1135  
(312) 807-4284

CC:



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: Jarvis et al.  
Appl. No.: 10/002,553  
Conf. No.: 3797  
Filed: November 23, 2001  
Title: FINANCIAL TRADING GAME  
Art Unit: 3713  
Examiner: B. Nguyen  
Docket No.: 0114066-004

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Sir:

In accordance with the provisions of 37 C.F.R. 1.56, 37 C.F.R. 1.97, and 37 C.F.R. 1.98, Applicants request that a citation and examination of the references cited below, and on the attached PTO-1449 form, copies of which are enclosed, be made during the course of examination of the above-identified application for United States patent. This is being submitted in response to the Examiner's request for resubmission.

**U.S. PATENT DOCUMENTS**

<u>Document No.</u>	<u>Date</u>	<u>Inventor</u>
5,511,781	April 30, 1996	Wood, et al.
5,890,963	April 6, 1999	Yen
6,398,218 B1	June 4, 2002	Vancura
6,413,160 B1	July 2, 2002	Vancura
6,413,161 B1	July 2, 2002	Baerlocher et al.
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6,461,241 B1	October 8, 2002	Webb et al.
6,464,582 B1	October 15, 2002	Baerlocher et al.

<u>Document No.</u>	<u>Date</u>	<u>Inventor</u>
6,494,785 B1	December 17, 2002	Gerrard et al.
6,506,118 B1	January 14, 2003	Baerlocher et al.
6,514,141 B1	February 4, 2003	Kaminkow et al.
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6,569,015 B1	May 27, 2003	Baerlocher et al.
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2002/0151350 A1	October 17, 2002	Baerlocher et al.
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2002/0187827 A1	December 12, 2002	Blankstein

<u>Document No.</u>	<u>Date</u>	<u>Inventor</u>
2003/0013514 A1	January 16, 2003	Cregan et al.
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2003/0040360 A1	February 27, 2003	Joseph E. Kaminkow
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2003/0087693 A1	May 8, 2003	Baerlocher et al.
2003/0090063 A1	May 15, 2003	Jarvis et al.

#### **FOREIGN PATENT DOCUMENTS**

<u>Document No.</u>	<u>Date</u>	<u>Country</u>
EP 1298609 A2	April 2, 2003	Europe
EP 1175928 A2	July 7, 2004	Europe

#### **OTHER DOCUMENTS**

A Vamp for All Seasons Article, written by Strictly Slots, published in 2002.

American Bandstand Article, written by Strictly Slots, published in 2002.

Cash for Life – Offer Bonus Advertisement/Lots a Loot Advertisement/Take It or Leave It Advertisement, written by Bally Gaming, published in 2003.

Cash for Life – Triple Spin Bonus Article, written by Strictly Slots, published in 2003.

Deep Pockets Advertisement, written by IGT, published in 2002.

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Hollywood Advertisement, written by Shuffle Master Gaming, published in 2001.

King Cash Slots Advertisement, written by IGT, published in 2003.

Press Your Luck Advertisement, written by Shuffle Master Gaming, published in 2000.

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Price is Right –Cliff Hangers Advertisement, written by IGT, published in 2001.

Psycho Cash Beast Advertisement, written by IGT, published in 1999.

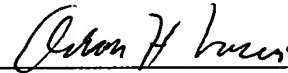
Three Wishes Article, written by Strictly Slots, published in 2000.

Applicants look forward to early and favorable consideration of this matter.

Respectfully submitted,

BELL, BOYD & LLOYD LLC

BY



Adam H. Masia

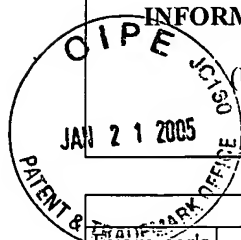
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P.O. Box 1135

Chicago, Illinois 60690-1135

Phone: (312) 807-4284

Date: January 18, 2005

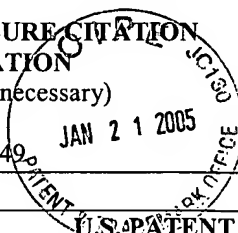


<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b> (Use several sheets if necessary)  PTO Form 1449		Atty Docket No. 0114066-004	Application No. 10/002,553
		Applicant Jarvis et al.	
		Filing Date November 23, 2001	Group 3713

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Examiner's Initials	Document Number	Publication Date	Inventor	Class	Subclass	Filing Date If Appropriate
	5,511,781	April 30, 1996	Wood, et al.			
	5,890,963	April 6, 1999	Yen			
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	6,632,141 B1	October 14, 2003	Webb et al.			
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	6,659,864 B2	December 9, 2003	McGahn et al.			

Examiner:	Date Considered:
*Examiner: Initial if citation considered, whether or not citation is in conformance with PEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b> (Use several sheets if necessary)  PTO Form 1449	Atty Docket No. 0114066-004	Application No. 10/002,553
	Applicant Jarvis et al.	
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	6,722,981 B2	April 20, 2004	Kaminkow et al.			
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<b>INFORMATION DISCLOSURE CITATION</b> <b>IN AN APPLICATION</b> (Use several sheets if necessary)  PTO Form 1449	Atty Docket No. 0114066-004	Application No. 10/002,553
	Applicant Jarvis et al.	
	Filing Date November 23, 2001	Group 3713

### FOREIGN PATENT DOCUMENTS

Examiner's Initials	Document Number	Publication Date	Country	Class	Subclass	Translation	
						Yes	No
	EP 1298609 A2	April 2, 2003	Europe				
	EP 1175928 A2	July 7, 2004	Europe				

### OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

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	A Vamp for All Seasons Article, written by Strictly Slots, published in 2002.
	American Bandstand Article, written by Strictly Slots, published in 2002.
	Cash for Life – Offer Bonus Advertisement/Lotsa Loot Advertisement/Take It or Leave It Advertisement, written by Bally Gaming, published in 2003.
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